



Docket No. UNI-001
(032771-000002)

2645
41

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Jack Chang
SERIAL NO.: 09/611,178
FILING DATE: July 6, 2000
TITLE: APPARATUS AND METHOD FOR PBX-INTEGRATED UNIFIED
MESSAGING SERVICES ON A SWITCHED BACKBONE
EXAMINER: Lisa Hashem (Tel. No.: (703) 305-4302)
(Fax No.: (703) 872-9306)
ART UNIT: 2645

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AUG 04 2004

Technology Center 2600

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as First Class
Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450,
on the date printed below:

Date:

7/28/04

Name:

Carol Diez

COMMISSIONER FOR PATENTS
P.O. Box 1450,
ALEXANDRIA, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached (unless the blanket waiver referred to below applies), may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to review, consider and document each such item in the official record of this application.

Note: If this box ☐ is checked, this case was filed after June 30, 2003 and qualifies for the blanket waiver of deposit of copies of U.S. Patents and U.S. Patent Application

Publications in accordance with the written waiver of 37 CFR §1.98 (a)(2)(i) dated July 11, 2003. Accordingly, such copies are not attached.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

I

This statement is filed pursuant to (CHECK ONE BOX):

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☐ **37 C.F.R. § 1.97(b).**

This information disclosure statement is filed either:

- (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
- (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
- (3) before the mailing date of a first office action on the merits; or
- (4) before the mailing of a first office action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114, **whichever event occurs last.**

Accordingly, this information disclosure statement requires no fee and no certification.

☒ **37 C.F.R. § 1.97(c).**

This information disclosure statement is filed **after** the period specified in 37 C.F.R. § 1.97(b), but **before** the mailing date of any of the following:

- (1) a final action under 37 C.F.R. § 1.113;
- (2) a notice of allowance under 37 C.F.R. § 1.311; or
- (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either:

- (1) the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c); or
- (2) a certification according to 37 C.F.R. § 1.97 (e)(1) or (2).

☐ **37 C.F.R. § 1.97(d).**

This information disclosure statement is filed **after** the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires:

- (1) a certification in accordance with 37 C.F.R. § 1.97(e); and
- (2) the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. **To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.**

II

Fees Due (**CHECK ONE BOX**):

- ☐ No fee is due.
- ☒ The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) or 37 C.F.R. § 1.97(d) is enclosed (**\$180**).

III

Certification (**CHECK ONE BOX**):

- ☒ No certification is necessary.
- ☐ Pursuant to 37 C.F.R. § 1.97(e)(1), the undersigned hereby certifies:
That each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ Pursuant to 37 C.F.R. § 1.97(e)(2), the undersigned hereby certifies:
No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this information disclosure statement.


IV

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698.

Respectfully submitted,
THELEN REID & PRIEST LLP

Dated: July 28, 2004



John P. Schaub
Reg. No. 42,125

THELEN REID & PRIEST LLP
P.O. Box 640640
San Jose, CA 95164-0640
(408) 292-5800 direct dial
(408) 287-8040 direct fax

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number . 09/611,178

Filing Date July 6, 2000

First Named Inventor Jack Chang

Art Unit 2645

Examiner Name Lisa Hashem

Attorney Docket Number UNI-001

Total Number of Pages in This Submission

RECEIVED**AUG 04 2004****Technology Center 2600****ENCLOSURES (check all that apply)**☒ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/ Incomplete Application☐ Response to Missing Parts under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a Provisional Application☐ Power of Attorney, Revocation Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) _____☐ After Allowance Communication to Group☐ Appeal Communication to Board of Appeals and Interferences☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify below):**1449 citing 16 pieces of art**

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

John P. Schaub, Reg. No. 42,125

Signature

Date

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

Carol Diez

Signature

Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

| Complete if Known | |
|----------------------|--------------|
| Application Number | 09/611,178 |
| Filing Date | July 6, 2000 |
| First Named Inventor | Jack Chang |
| Examiner Name | Lisa Hashem |
| Art Unit | 2645 |
| Attorney Docket No. | UNI-001 |

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| METHOD OF PAYMENT (check all that apply) | | FEE CALCULATION | |
|---|--|--|--|
| <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order | | 3. ADDITIONAL FEES | |
| <input checked="" type="checkbox"/> Deposit Account: | | Large Entity Small Entity | |
| Deposit Account Number: 50-1698 | | Fee Code Fee (\$) | |
| Deposit Account Name: Thelen Reid & Priest, LLP | | Fee Description Fee Paid | |
| The Director is authorized to: (check all that apply) | | 1051 130 2051 65 Surcharge - late filing fee or oath | |
| <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments | | 1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet. | |
| <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application | | 1053 130 1053 130 Non-English specification | |
| <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. | | 1812 2,520 1812 2,520 For filing a request for reexamination | |
| FEE CALCULATION | | 1804 920* 1804 920* Requesting publication of SIR prior to Examiner action | |
| 1. BASIC FILING FEE | | 1805 1,840* 1805 1,840* Requesting publication of SIR after Examiner action | |
| Large Entity Small Entity | | 1251 110 2251 55 Extension for reply within first month | |
| Fee Code Fee (\$) | | 1252 420 2252 210 Extension for reply within second month | |
| 1001 770 2001 385 Utility filing fee | | 1253 950 2253 475 Extension for reply within third month | |
| 1002 340 2002 170 Design filing fee | | 1254 1,480 2254 740 Extension for reply within fourth month | |
| 1003 530 2003 265 Plant filing fee | | 1255 2,010 2255 1,005 Extension for reply within fifth month | |
| 1004 770 2004 385 Reissue filing fee | | 1401 330 2401 165 Notice of Appeal | |
| 1005 160 2005 80 Provisional filing fee | | 1402 330 2402 165 Filing a brief in support of an appeal | |
| SUBTOTAL (1) (\$) 0 | | 1403 290 2403 145 Request for oral hearing | |
| 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE | | 1451 1,510 1451 1,510 Petition to institute a public use proceeding | |
| Total Claims -20 ** = 0 X Fee from below = 0 Fee Paid | | 1452 110 2452 55 Petition to revive - unavoidable | |
| Independent Claims -3 ** = 0 X Fee from below = 0 Fee Paid | | 1453 1,330 2453 665 Petition to revive - unintentional | |
| Multiple Dependent X Fee from below = 0 Fee Paid | | 1501 1,330 2501 665 Utility issue fee (or reissue) | |
| Large Entity Small Entity | | 1502 480 2502 240 Design issue fee | |
| Fee Code Fee (\$) | | 1503 640 2503 320 Plant issue fee | |
| 1202 18 2202 9 Claims in excess of 20 | | 1460 130 1460 130 Petitions to the Commissioner | |
| 1201 86 2201 43 Independent claims in excess of 3 | | 1807 50 1807 50 Processing fee under 37 CFR 1.17 (q) | |
| 1203 290 2203 145 Multiple dependent claim, if not paid | | 1806 180 1806 180 Submission of Information Disclosure Stmt | |
| 1204 86 2204 43 ** Reissue independent claims over original patent | | 8021 40 8021 40 Recording each patent assignment per property (times number of properties) | |
| 1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent | | 1809 770 2809 385 Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| SUBTOTAL (2) (\$) 0 | | 1810 770 2810 385 For each additional invention to be examined (37 CFR § 1.129(b)) | |
| *or number previously paid, if greater; For Reissues, see above | | 1801 770 2801 385 Request for Continued Examination (RCE) | |
| | | 1802 900 1802 900 Request for expedited examination of a design application | |
| | | Other fee (specify) _____ | |
| | | *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 180 | |

| SUBMITTED BY | | Complete (if applicable) | |
|-------------------|----------------|-----------------------------------|----------------|
| Name (Print/Type) | John P. Schaub | Registration No. (Attorney/Agent) | 42,125 |
| Signature | | Telephone | (408) 292-5800 |
| | | Date | 7/28/04 |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.